

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Timothy M. Keiser et al.Application No./Patent No.: 10/655,409 Filed/Issue Date: September 4, 2003Entitled: COMPUTER-IMPLEMENTED SECURITIES TRADING SYSTEM WITH A VIRTUAL SPECIALIST FUNCTIONCFPH, LLC, a limited liability company

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

In the patent application/patent identified above by virtue of either:

- A ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Timothy M. Keiser and Michael R. Burns To: HSX, Inc.

The document was recorded in the United States Patent and Trademark Office at  
Reel 010050, Frame 0709, or for which a copy thereof is attached.

2. From: HSX Holdings, Inc. To: SBS Broadcasting SA

The document was recorded in the United States Patent and Trademark Office at  
Reel 011511, Frame 0479, or for which a copy thereof is attached.

3. From: HSX Holdings, Inc. To: Hollywood Stock Exchange, LLC

The document was recorded in the United States Patent and Trademark Office at  
Reel 012059, Frame 0524, or for which a copy thereof is attached.

- ☒ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Signature

May 1, 2009

Date

Dean P. Alderucci

(212) 829-7009

Printed or Typed Name

Telephone Number

Vice President and Assistant General Counsel

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete the form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

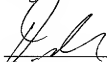
Application No.: 10/655,409  
Customer No.: 63710  
Attorney Docket No.: 98-HSX001-C5  
Date Filed: September 4, 2003  
Title: COMPUTER-IMPLEMENTED SECURITIES TRADING  
SYSTEM WITH A VIRTUAL SPECIALIST FUNCTION  
Applicants: Timothy M. Keiser et al.  
Group Art Unit: 3696

**Additional Documents in the Chain of Title**  
**in Support of Applicant's Statement Under 37 CFR 3.73(b)**

Applicants submit concurrently herewith a Statement Under 37 CFR 3.73(b). Additional documents in the chain of title from the inventor(s) of the patent application/patent identified above, to the current assignee are continued from Statement Under 37 CFR 3.73(a) as follows:

4. From: Hollywood Stock Exchange, LLC To: CFPH, LLC  
The document was recorded in the United States Patent and Trademark Office at Reel 012154, Frame 0014, or for which a copy thereof is attached.
5. From: SBS Broadcasting SA To: CFPH, LLC  
The document was recorded in the United States Patent and Trademark Office at Reel 014863, Frame 0062, or for which a copy thereof is attached.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee



Signature

May 1, 2009

Date

Dean P. Alderucci  
Printed or Typed Name

(212) 829-7009  
Telephone Number Title

Vice President and Assistant General Counsel  
Title